PTO/SB/08a (11-07)
Approved for use through 11/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Apt of 1995 no Persons are required to respond to a collection of information unless it contains a valid OMR control number

Complete if Known Substitute for form 1449A/PTO Application Number 10/804,631 **INFORMATION DISCLOSURE** Filing Date 3/19/04 STATEMENT BY APPLICANT First Named Inventor Burns, Michael J. Art Unit 3628 **Examiner Name** Not Assigned (Use as many sheets as necessary) 1 Attorney Docket Number 02-184-C Sheet

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (If known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
<del>,,,</del>	1	us-6,519,574	2/11/03	Wilton et al.	r iguros ripposi
	2	us-5,787,402	7/28/98	Potter et al.	
	3	us-4,674,044	6/16/1987	Kalmus	
	4	us-4,750,135	6/7/1988	Boilen	· · · · · · · · · · · · · · · · · · ·
	5	us-4,903,201	2/20/1990	Wagner	
	6	us-5,038,284	8/6/1991	Kramer	
·	7	us-5,077,665	12/31/1991	Silverman	
	8	us- 5,101,353	3/31/1992	Lupien	
	9	us- 5,136,501	8/4/1992	Silverman	
	10	us-5,270,922	12/14/1993	Higgins	
	11	us-5,297,031	3/22/1994	Gutterman	
	12	us-5,297,032	3/22/1994	Trojan	
	13	us- 5,689,651	11/18/1997	Lozman	
	14	us- 5,774,877	6/30/1998	Patterson	***************************************
	15	us-5,793,301	8/11/1998	Patterson	
	16	us- 5,797,002	8/18/1998	Patterson	
	17	us- 5,845,266	12/1/1998	Lupien	
	18	us- 5,915,245	6/22/1999	Patterson	The second secon
	19	us- 5,924,082	7/13/1999	Silverman	
	20	us- 5,924,083	7/13/1999	Silverman	
	21	us- 5,946,667	8/31/1999	Tuli	
	22	us- 5,963,923	10/5/1999	Garber	
	23	us- 6,012,046	1/4/2000	Lupien	
·····	24	us- 6,014,643	1/11/2000	Minton	18112 30003000 311 (710 1100 1 7 7 0 1 3
	25	us- 6,035,287	3/7/2000	Stallaert	
	26	us-6,098,051	8/1/2000	Lupien	
<del></del>	27	us- 6,131,087	10/10/2000	Luke	
	28	us- 6,134,535	10/17/2000	Belzberg	
<del></del>	29	us- 6, 195,647	2/27/2001	Martyn	······································
	30	us-6,272,474	8/7/2001	Garcia	
	31	us-6,278,982	8/21/2001	Korhammer	
***************************************	32	us-6,282,521	8/28/2001	Howorka	
	33	us- 6,408,282	6/18/2002	Buist	
***************************************	34	us- 6,418,419	7/9/2002	Nieboer	
	35	us- 6,766,304	7/20/2004	Kemp	

## **U.S. Patent Application Publication Documents**

Examiner Initials*	Cite No.1	Document Number	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Filing Date
	36	2001/0042040 A1	11/15/01	Keith	
	37	2001/0044770 A1	11/22/01	Keith	
	38	2001/0051909 A1	12/13/01	Keith	
	39	2002/0091617 A1	7/11/02	Keith	
	40	2002/0194115 A1	12/19/02	Nordlicht et al.	
	41	2003/0014351 A1	01/16/03	Neff et al.	
	42	2003/0069830 A1	4/10/03	Morano et al.	
	43	2003/0130929 A1	7/10/03	Waddell	<u></u>
	44	20020023038	2/21/2002	Fritsch	
	45	20020046146	4/18/2002	Otero	WANTED
	46	20020046149	4/18/2002	Otero	
	47	20020046151	4/18/2002	Otero	
	48	20020046156	4/18/2002	Horn	
	49	20020049661	4/25/2002	Otero	
	50	20020055899	5/9/2002	Williams	
	51	20020059129	5/16/2002	Kemp	
	52	20020099644	7/25/2002	Kemp	
	53	20020128950	9/12/2002	Wu	
	54	20020138401	9/26/2002	Allen	
	55	20020188555	12/12/2002	Lawrence	
	56	20030004852	1/2/2003	Burns	
	57	20030004853	1/2/2003	Ram	
	58	20030009411	1/9/2003	Ram	
	59	20030023542	1/2/2003	Kemp	······································
	60	20030033235	2/13/2003	Hummelgren	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	Foreign Patent Document  Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	61	WO95/26005A1	9/28/1995			
	62	WO99/30259A1	6/17/1999			
	63	WO00/52619A1	9/8/2000			
	64	WO00/51043A1	8/31/2000			
	65	WO00/62187A2	10/16/2000			
	66	WO00/65510A1	11/2/2000			
	67	EP1067471A1	1/10/2001			
	68	WO01/16830A1	3/8/2001		American LegalNet, Inc.	

	<del></del>	
69	WO01/16852A2	3/8/2001
70	WO01/22315A2	3/29/2001
71	WO01/22266A2	3/29/2001
72	EP1104904A1	6/6/2001
73	WO01/88808A1	11/22/2001
74	WO02/33621A1	4/25/2002
75	WO02/33623A1	4/25/2002
76	WO02/33635A1	4/25/2002
77	WO02/33636A1	4/25/2002
78	WO02/33637A1	4/25/2002
79	WO02/47006A1	6/13/2002
80	EP1217564A2	6/26/2002
81	EP1217564A3	7/17/2002
82	EP1246111A2	10/2/2002
83	WO20/79940A2	10/10/2002
84	WO20/80433A2	10/10/2002
85	WO20/97580A2	12/5/2002
86	WO9114231A1	9/19/1991
87	WO9849639A1	11/5/1998
88	WO9919821A1	4/22/1999
89	WO9953424A1	10/21/1999
90	WO0062187A3	10/19/2000
91	WO0122315A3	3/29/2001
92	WO0165403A2	9/7/2001
93	WO0229686A1	4/11/2002
94	WO0116852C1	6/27/2002
95	WO02103601A1	12/27/2002
96	WO03090032A2	10/30/2003
97	WO03090032A3	10/30/2003

Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Apt of 1995 no Persons are required to respond to a collection of information unless it contains a valid OMR control number. Complete if Known Substitute for form 1449B/PTO Application Number 10/804,631 INFORMATION DISCLOSURE Filing Date 3/19/04 First Named Inventor STATEMENT BY APPLICANT Burns, Michael J. Art Unit 3628 (Use as many sheets as necessary) **Examiner Name** Not Assigned Attorney Docket Number 02-184-C 2 2 Sheet

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*  Cite No.1 Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), pull and/or country where published.			T²
makina a sandanan sandan s	98	International Search Report for PCT/US03/06445	
	99	USPTO Presentation, NASDAQ, November 8, 2001	
	100	Kharouf, A Trading Room with a View, Futures, 27, 11 - 11/1998	
	101	www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/01) 6/9/2000	************
	102	MTS News - March 2002	
Examiner		Date	

Examiner	Date	
Signature	Considered	

<sup>\*</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any other than the chief the required to the Chief Information Officer U.S. Patent on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.